



# TRANSMITTAL FORM

 <p><b>TRANSMITTAL FORM</b></p>	Application Serial Number	10/823,083
	Filing Date	April 13, 2004
	First Named Inventor	Ariel
	Group Art Unit	1745
	Examiner Name	Not yet assigned
	Attorney Docket No.	MIT-160
	Patent No.	Not applicable
	Issue Date	Not applicable

**ENCLOSURES (check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences
<input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form	<input type="checkbox"/> Formal Drawing(s)	<input type="checkbox"/> Appeal Brief (in triplicate)
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<input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets <u>  </u> ]	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 <input type="checkbox"/> Additional Enclosure(s) ( <i>please identify below</i> )
<input type="checkbox"/> Petition for Extension of Time	<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input checked="" type="checkbox"/> Form PTO-1449 <input checked="" type="checkbox"/> Copies of cited references B1-B3 and C1-C67	<input type="checkbox"/> CD(s) for large table or computer program	
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**CORRESPONDENCE ADDRESS**

## SIGNATURE BLOCK

Direct all correspondence to: Patent Administrator  
Goodwin Procter LLP  
Exchange Place  
Boston, MA 02109  
Tel. No.: (617) 570-1000  
Fax No.: (617) 523-1231  
Customer No. 051414

Date: August 16, 2005  
Reg. No. 44,381  
Tel. No.: (617) 570-1806  
Fax No.: (617) 523-1231

Respectfully submitted,

Natasha C. Us  
Natasha C. Us  
Attorney for Applicant(s)  
Goodwin Procter LLP  
Exchange Place  
Boston, MA 02109



*ifw*  
PATENT  
Attorney Docket No. MIT-160

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Ariel *et al.*

SERIAL NO.: 10/823,083 GROUP NO.: 1745

FILING DATE: April 13, 2004 EXAMINER: Not yet assigned

TITLE: INTEGRATED THIN FILM BATTERIES ON SILICON  
INTEGRATED CIRCUITS

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 16<sup>th</sup> day of August, 2005.

*Wendy L. Martin*  
Wendy L. Martin

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith are:

1. Transmittal Form (1 page);
2. Information Disclosure Statement (2 pages);
3. Form PTO-1449 (6 pages);
4. Copies of cited references B1-B3 and C1-C67; and
5. Return receipt postcard



**PATENT**  
Attorney Docket No. MIT-160

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT(S): Ariel et al.

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INTEGRATED CIRCUITS

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with 37 C.F.R. 1.98(a)(2), only copies of the foreign patent documents and non-patent publications are enclosed.

**REMARKS**

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

(1) within three (3) months of the **filings date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or

(2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and

the requisite Statement is below, **OR**

the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

Information Disclosure Statement

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(3) after the mailing date of a **final action or notice of allowance** but before the payment of the **issue fee**, **AND**

the requisite Statement is below, **AND**

the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

Respectfully submitted,

Date: August 16, 2005

Reg. No. 44,381

Tel. No.: (617) 570-1806

Fax No.: (617) 523-1231

Natasha C. Us

Natasha C. Us

Attorney for Applicant(s)

Goodwin Procter LLP

Exchange Place

Boston, Massachusetts 02109

Customer No. 051414



FORM PTO - INFORMATION DISCLOSURE STATEMENT		ATTORNEY DOCKET NO.: MIT-160
		APPLICANT(S): Ariel <i>et al.</i>
		SERIAL NO.: 10/823,083
		FILING DATE: April 13, 2004      GROUP: 1745

**U.S. PATENT DOCUMENTS**

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	5,985,485	11/16/1999	Ovshinsky <i>et al.</i>			
	A2	6,242,132	06/05/2001	Neudecker <i>et al.</i>			

**FOREIGN PATENT DOCUMENTS**

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	01/73864	10/04/2001	WO				N	Y
	B2	97/19481	05/29/1997	WO				N	Y
	B3	01/80338	10/25/2001	WO				N	Y

**OTHER ART, JOURNAL ARTICLES, ETC.**

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C1	Akridge and Balkanski, <i>Solid State Microbatteries</i> , Plenum press, (1988).
	C2	Antolini, "Preparation and Properties of Li-Co-O Compounds," <i>J. of the European Ceramic Soc.</i> 18 (1998), pp 1405-1411.
	C3	Balkanski, <i>et al.</i> , "Integrable Lithium Solid-State Microbatteries," <i>J. of Power Sources</i> , Vol. 26 (1989) pp. 615-622.
	C4	Balkanski, "Solid-state microbatteries for electronics in the 21 <sup>st</sup> century," <i>Solar Energy Materials and Solar Cells</i> , 62 (2000), pp 21-35.
	C5	Barin, <i>Thermochemical Data Of Pure Substances</i> , 3rd edition, Weinheim, NY, (1995).
	C6	Bates <i>et al.</i> , "Thin-film rechargeable lithium batteries," <i>J. of Power Sources</i> , 54 (1995), pp 58-62.
	C7	Bates <i>et al.</i> , "Thin-film lithium and lithium-ion batteries," <i>Solid State Ionics</i> , 135 (2000), pp 33-45.
	C8	Bates <i>et al.</i> , "Rechargeable Thin-Film Lithium Microbatteries," <i>Solid State Technology</i> , (1993) pp 59-64.

EXAMINER	DATE CONSIDERED
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FORM PTO - 1449  INFORMATION DISCLOSURE STATEMENT					ATTORNEY DOCKET NO.: MIT-160  APPLICANT(S): Ariel <i>et al.</i>  SERIAL NO.: 10/823,083  FILING DATE: April 13, 2004      GROUP: 1745				
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OTHER ART, JOURNAL ARTICLES, ETC.									
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C9	Benqlilou-Moudden <i>et al.</i> , "Amorphous lithium cobalt and nickel oxides thin films: preparation and characterization by RBS and PIGE," <u>Thin Solid Films</u> , 333 (1998), pp 16-19.							
	C10	Bonino <i>et al.</i> , "Rechargeable lithium batteries based on $Li_{1+x}V_3O_8$ thin films," <u>J. of Power Sources</u> , 56 (1995), pp 193-196.							
	C11	Boukamp <i>et al.</i> , "All-Solid Lithium Electrodes with Mixed-Conductor Matrix," <u>J. of Electrochem. Soc.</u> , 128, (4), (1981), pp 725-729.							
	C12	Bourderau <i>et al.</i> , "Amorphous silicon as a possible anode material for Li-ion batteries," <u>J. of Power Sources</u> , 81-82, (1999), pp 233-236.							
	C13	Brousse <i>et al.</i> , "All oxide solid-state lithium-ion cells," <u>J. of Power Sources</u> , 68 (1997), pp 412-415.							
	C14	Calister, <i>Introduction to Materials Science and Engineering</i> , 3rd edition, Wiley, NY, (1994).							
	C15	Campbell <i>et al.</i> , "The electrochemical behaviour of tetrahydrofuran and propylene carbonate without added electrolyte," <u>J. Electroanal. Chem.</u> , 284 (1990) pp. 195-204.							
	C16	Chromik <i>et al.</i> , "Thermodynamic and kinetic study of solid state reactions in the Cu-Si system," <u>J. of App. Phys.</u> , 86 (8), (1999), pp 4273-4281.							
	C17	Contestabile <i>et al.</i> , "A laboratory-scale lithium-ion battery recycling process," <u>J. of Power Sources</u> , 92, (2001) pp 65-69.							
	C18	Czyzyk <i>et al.</i> , "Band-theory description of high-energy spectroscopy and the electronic structure of $LiCoO_2$ ," <u>Phys. Rev. B</u> , 46 (7), (1992), pp 3729-3735.							
	C19	Dudney <i>et al.</i> , "Sputtering of lithium compounds for preparation of electrolyte thin films," <u>Solid State Ionics</u> , 53-56, (1992) pp 655-661.							
	C20	Ferg <i>et al.</i> , "Spinel Anodes for Lithium-Ion Batteries," <u>J. Electrochem. Soc.</u> , 141, (11), pp 147-150.							
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## U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)

## OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C21	Fuller and Severiens, "Mobility of Impurity Ions in Germanium and Silicon," <u>Phys. Rev.</u> , 96 (1), (1954), pp. 21-24
	C22	Gao <i>et al.</i> , "Alloy Formation in Nanostructured Silicon," <u>Adv. Mat.</u> , 13, (11), (2001), pp 816-819.
	C23	Goldner <i>et al.</i> , "Development of a Thin Film $Li_{1-x}CoO_2/Li_xC_6$ Rocking-chair Battery," <u>Electrochem. Soc. Proc.</u> , 95-22, (1996), pp 173-182.
	C24	Groenent <i>et al.</i> , "Strategies for Direct Monolithic Integration of $Al_xGa_{(1-x)}As/In_xGa_{(1-x)}As$ LEDs and Lasers on Ge/GeSi/Si Substrates Via Relaxed Graded $Ge_xSi_{(1-x)}$ Buffer Layers" <u>Proceedings of fall MRS</u> , Boston 2001.
	C25	Jones and Akridge, "Development and performance of a rechargeable thin-film solid-state microbattery," <u>J. of Power Sources</u> , 54 (1995), pp 63-67.
	C26	Julien <i>et al.</i> , "Transport and Structure of Glasses for Microbattery Applications," <u>Glasses for Electronic Applications</u> , Ceramic Trans. 20, Ed. K.M. Nair, American Ceramic Soc., (1991), pp 51-84.
	C27	Julien <i>et al.</i> , "Fabrication of $LiCoO_2$ thin-film cathodes for rechargeable lithium microbatteries," <u>Mat. Chemistry and Physics</u> , 68 (2001), pp 210-216.
	C28	Julien <i>et al.</i> , "Growth of $LiMn_2O_4$ thin films by pulsed-laser deposition and their electrochemical properties in lithium microbatteries," <u>Mat. Sci. and Eng.</u> , B72 (2000), pp 36-46.
	C29	Julien <i>et al.</i> , "Combustion synthesis and characterization of substituted lithium cobalt oxides in lithium batteries," <u>Solid State Ionics</u> , 135 (2000), pp 241-248.
	C30	Huggins, "Lithium alloy negative electrodes," <u>J. of Power Sources</u> , 81-82, (1999), pp 13-19.
	C31	Kondo, "All Solid-State Lithium Secondary Battery with Highly Ion Conductive Glassy Electrolyte," <u>Lithium Ion Batteries</u> , Chapter 9, pp 199-216.
	C32	Lai, "Solid Lithium-Silicon Electrode," <u>J. of Electrochem. Soc.</u> , 123 (8), (1977), pp 1196-1197.

EXAMINER	DATE CONSIDERED

<b>FORM PTO - 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>					<b>ATTORNEY DOCKET NO.: MIT-160</b> <b>APPLICANT(S): Ariel <i>et al.</i></b> <b>SERIAL NO.: 10/823,083</b> <b>FILING DATE: April 13, 2004</b> <b>GROUP: 1745</b>				
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EXAM. INIT.	<b>OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>								
	C33	Lee <i>et al.</i> , "Strained Ge channel <i>p</i> -type metal-oxide-semiconductor field-effect transistors grown on Si <sub>(1-x)</sub> Ge <sub>x</sub> /Si virtual substrates," <u>App. Phys. Lett.</u> , Vol. 79, No. 20, (2001), pp 3344-3346.							
	C34	Lee <i>et al.</i> , "All-Solid-State Rocking Chair Lithium Battery on a Flexible Al Substrate," <u>Electrochem. and Solid State Lett.</u> , 2 (9), (1999), pp 425-427.							
	C35	Li <i>et al.</i> , "Direct Imaging of the Passivating Film and Microstructure of Nanometer-Scale SnO Anodes in Lithium Rechargeable Batteries," <u>Electrochem. and Solid State Lett.</u> , 1 (6), (1998), pp 241-243.							
	C36	Li <i>et al.</i> A High Capacity Nano-Si Composite Anode Material for Lithium Rechargeable Batteries," <u>Electrochem. and Solid State Lett.</u> , 2 (11), (1999), pp 547-549.							
	C37	Li <i>et al.</i> , "The crystal structural evolution of nano-Si anode caused by lithium insertion and extraction at room temperature," <u>Solid State Ionics</u> , 135, (2000), pp 181-191.							
	C38	McGraw <i>et al.</i> , "Next generation V <sub>2</sub> O <sub>5</sub> cathode materials for Li rechargeable batteries," <u>Solid State Ionics</u> , 113-115, (1998), pp 407-413.							
	C39	Nesper, <i>et al.</i> , "Li <sub>2</sub> Si <sub>5</sub> , a Zintl Phase as Well as a Hume-Rothery Phase," <u>J. of Solid State Chemistry</u> , 70, (1987) pp 48-57.							
	C40	Neubert, <i>et al.</i> , "Mass Spectrometric Determination of the Dissociation Energies of the Molecules CuLi, AgLi and AuLi," <u>Dissociation Energies</u> , (1974) pp 2219-2223.							
	C41	Neudecker <i>et al.</i> , "Lithium silicon tin oxynitride (Li <sub>x</sub> SiTON): high-performance anode in thin-film lithium-ion batteries for microelectronics," <u>J. of Power Sources</u> , 81-81 (1999), pp 27-32.							
	C42	Ng <i>et al.</i> , "Si-O network encapsulated graphite-silicon mixtures as negative electrodes for lithium-ion batteries," <u>J. of Power Sources</u> , 94, (2001), pp 63-67.							
	C43	Park <i>et al.</i> , "All-Solid-State Lithium Thin-Film Rechargeable Battery with Lithium Manganese Oxide," <u>Electrochem. and Solid State Lett.</u> , 2 (2), (1999), pp 58-59.							
	C44	Pell, "Diffusion of Li in Si at High T and the Isotope Effect," <u>Phys. Rev.</u> , 119 (3), (1960), pp. 1014-1021.							
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EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)								
	C45	Pell, "Diffusion Rate of Li in Si at Low Temperatures," <u>Phys. Review</u> , 119, (4), (1960), pp 1222-1225.							
	C46	Robertson <i>et al.</i> , "Ion beam analysis of lithium-ion conducting amorphous electrolyte films," <u>Nuclear Instruments and Methods in Physics Research</u> , B56/57 (1991), pp 722-725.							
	C47	Scrosati, "Recent advances in lithium ion battery materials," <u>Electrochimica Acta</u> , 45 (2000), pp 2461-2466.							
	C48	Seefurth <i>et al.</i> , "Investigation of Lithium Utilization from A Lithium-Silicon Electrode," <u>J. of Electrochem. Soc.</u> , 124 (8), (1977), pp 1207-1214.							
	C49	Severiens and Fuller, "Mobility of Impurity Ions in Germanium and Silicon," <u>Phys. Rev.</u> , 92 (5), (1953), pp. 1322-1323.							
	C50	Sharma <i>et al.</i> , "Thermodynamic Properties of the Lithium-Silicon System," <u>J. of Electrochem. Soc.</u> , 123, (12), (1976), pp 1763-1768.							
	C51	Subbarao <i>et al.</i> , "Advances in Ambient Temperature Secondary Lithium Cells," <u>J. of Power Sources</u> , 29 (1990), pp 579-587.							
	C52	Sze, "Diffusion in SiO <sub>2</sub> ," <u>VLSI Technology</u> , 2 <sup>nd</sup> edition, McGraw-Hill, NY, (1998) pp 204-209, and 154-157.							
	C53	Taraschi <i>et al.</i> , "Relaxed SiGe-on insulator fabricated via wafer bonding and etch back," <u>J. Vac. Sci. Technol.</u> , B20 (2) accepted April 2002, pp 725-727.							
	C54	Thackeray <i>et al.</i> , "Lithium Insertion into Manganese Spinels," <u>Mat. Res. Bull.</u> , 18, (1983), pp 461-472.							
	C55	Van der Ven <i>et al.</i> , "Phase transformations and volume changes in spinel Li <sub>x</sub> Mn <sub>2</sub> O <sub>4</sub> ," <u>Solid State Ionics</u> , 135, (2000), pp 21-32.							
	C56	Vaughey <i>et al.</i> , "Intermetallic Insertion Electrodes for Lithium Batteries," <u>Electrochem. Soc. Proc.</u> , 99-24, (2000), pp 280-289.							
	C57	Wang <i>et al.</i> , "Characterization of Thin-Film Rechargeable Lithium Batteries with Lithium Cobalt Oxide Cathodes," <u>J. of Electrochem. Soc.</u> , 143 (10), (1996) pp 3203-3213.							
EXAMINER					DATE CONSIDERED				

<b>FORM PTO - 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>					<b>ATTORNEY DOCKET NO.: MIT-160</b> <b>APPLICANT(S): Ariel et al.</b> <b>SERIAL NO.: 10/823,083</b> <b>FILING DATE: April 13, 2004</b> <b>GROUP: 1745</b>				
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	C58	Wen et al., "Chemical Diffusion in Intermediate Phases in the Lithium-Silicon System," <u>J. of Solid State Chem.</u> , 27, (1981), pp 271-278.							
	C59	Weppner et al., "Determination of the Kinetic Parameters of Mixed-Conducting Electrodes and Application to the System Li <sub>3</sub> Sb," <u>J. of Electrochem. Soc.</u> , 124 (10), (1997), pp 1569-1578.							
	C60	Weydanz et al., "A room temperature study of the binary lithium-silicon and the ternary lithium-chromium-silicon system for use in rechargeable lithium batteries," <u>J. of Power Sources</u> , 81-82 (1999), pp 237-242.							
	C61	Whittingham et al., "25 Years of Intercalation Chemistry for Battery Materials," <u>Electrochem. Soc. Proc.</u> , 99-24, pp 15-28.							
	C62	Yang et al., "Monolithic integration of III-V optical interconnects on Si using SiGe virtual substrates," <u>J. of Mat. Sci. electronic materials</u> , submitted 2002, pp 377-380.							
	C63	Yao et al., "Studies of electrochemical properties of lithium cobalt oxide," <u>J. of Power Sources</u> , 54 (1995), pp 491-493.							
	C64	Y-Schacham-Diamond et al., "Copper Transport in Thermal SiO <sub>2</sub> ," <u>J. of Electrochem. Soc.</u> , 140 (8), (1993), pp 2427-2432.							
	C65	Yu et al., "A Stable Thin-Film Lithium Electrolyte: Lithium Phosphorus Oxynitride," <u>J. Electrochem. Soc.</u> , 144 (2), (1997), pp 524-532.							
	C66	Zhou et al., "Controlled Li doping of Si nanowires by electrochemical insertion method," <u>Appl. Phys. Lett.</u> , 75 (16), (1999), pp 2447-2449.							
	C67	International Search Report and Written Opinion for PCT-US2004/093223, May 10, 2005, 10 pages.							
<b>EXAMINER</b>					<b>DATE CONSIDERED</b>				